



A34493 - 071308.0216

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Martin Schroder et al.  
Serial No. : 09/955,317 Group Art Unit: 2863  
Filed : September 17, 2001 Examiner: Bui, Bryan  
For : SPEED-DEPENDENT SETPOINT CORRECTION IN  
ELECTRICALLY REGULATED SLAVE DRIVES

I hereby certify that this paper is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

December 17, 2003  
Date of Deposit

Bradley B. Geist  
Attorney Name

Signature

27,551  
PTO Reg. No.

December 17, 2003  
Date of Signature

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to the provisions of 37 C.F.R. §§ 1.97 and 1.98, submitted herewith are a PTO Form 1449 identifying documents disclosing prior art that may be material to the patentability of the invention claimed in the above-identified application and copies of the documents identified in the Form 1449. The documents were mentioned in the procedure of

NY02:469161.1

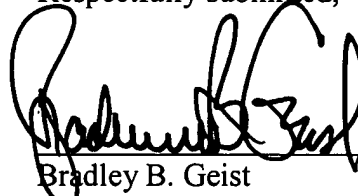
## PATENT

the German Patent Office. English-language translations of the articles are not readily available. However, abstracts are attached to each reference.

Identification of the listed references in the PTO 1449 is not to be construed as an admission of the Applicant(s) or the attorneys of the Applicant(s) that such references are available as "prior art" against the subject application.

This statement is being filed under §1.97(c), with a fee of \$180, prior to either a final action or a notice of allowance. The Commissioner is hereby authorized to charge the payment of any additional fees required in association with this communication to Deposit Account No. 02-4377. A check for the fee and a duplicate copy of this statement is enclosed.

Respectfully submitted,

A handwritten signature in black ink, appearing to read 'Bradley B. Geist', is written over a horizontal line.

Bradley B. Geist  
Patent Office Reg. No. 27,551

Attorneys for Applicants  
(212) 408-2562

Enclosure

41  
**BAKER BOTTS LLP**

DEC 22 2003

Please type a plus sign (+) inside this box → ☒

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TC 1700

2863  
\$

# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

Application Number	09/955,317
Filing Date	September 17, 2001
First Named Inventor	Martin Schroder et al.
Group Art Unit	2863
Examiner Name	Bui, Bryan
Attorney Docket Number	A34493

## ENCLOSURES (check all that apply)

- ☒ Fee Transmittal Form
- ☒ Fee Attached
- ☐ Amendment / Reply
- ☐ After Final
- ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☒ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☐ Response to Missing Parts/Incomplete Application
- ☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

- ☐ Assignment Papers (for an Application)
- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition to Convert to a Provisional Application
- ☐ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s) \_\_\_\_\_

- ☐ After Allowance Communication to Group
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☒ Other Enclosure(s) (please identify below):  
PTO 1449 w/copy of references

Remarks

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm  
or  
Individual name

BakerBotts LLP  
30 Rockefeller Plaza  
New York, NY 10112

Signature

Att Name: Bradley B. Geist  
PTO Reg: 27,551

Date

December 17, 2003

## CERTIFICATE OF MAILING

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Typed or printed name

Bradley B. Geist

Signature

Date December 17, 2003

BAKER BOTTS LLP

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# FEE TRANSMITTAL for FY 2003

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$180

## Complete if Known

Application Number 09/955,317  
 Filing Date September 17, 2001  
 First Named Inventor Martin Schroder et al.  
 Examiner Name Bui, Bryan  
 Art Unit 2863  
 Attorney Docket No. A34493

## METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None☒ Deposit Account:Deposit  
Account  
Number  
Deposit  
Account  
Name

02-4377

Baker Botts LLP

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments☒ Charge any additional fee required under 37CFR 1.16 and 1.17☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)					(\$0

## 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
- 20 = 0	X		0
Independent Claims	- 3 = 0	X	0
Multiple Dependent			

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$0

\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,300	2453	650	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	630	2503	315	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	180
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	2809	385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$180

## SUBMITTED BY

Name (Print/Type)

Bradley B. Galt

Registration No.  
(Attorney/Agent)

27,551

(Complete if applicable)

Telephone 212-408-2500

Signature

Date

December 17, 2003

**BAKER BOTTS LLP**

Attorney Docket Number: A34493

Title: SPEED-DEPENDENT SETPOINT CORRECTION IN ELECTRICALLY REGULATED SLAVE  
DRIVES



Use Space Below for Additional Information:

Serial No.  
09/955,317

Applicant  
Schroder et al.

(Use several sheets if necessary)

Filing Date  
9-17-2001

Group  
2121

U.S. PATENT DOCUMENTS

[illegible]

**FOREIGN PATENT DOCUMENT**

FOREIGN PATENT DOCUMENT														
		Document No.							Date	Country	Class	SubClass	Translator Yes No	
	1	9	8	5	2	4	3	6	4-20-1999	Germany (w/abstract)				
	1	9	7	2	7	8	2	4	11-19-1998	Germany (w/abstract)				
	4	3	2	2	7	4	4		3-11-1997	Germany (w/abstract)				
	4	0	2	1	3	3	0		10-24-1996	Germany (w/abstract)				
	4	4	2	0	5	9	8		12-14-1995	Germany (w/abstract)				
	3	6	3	8	6	9	8		5-19-1988	Germany (w/abstract)				
	3	3	0	4	6	4	4		8-16-1984	Germany (w/abstract)				

**OTHER DOCUMENTS (including Author, Title Date, Pertinent Pages, Etc.)**

"Digitale Antriebe und SERCOS Interface" by Werner Phillip., In: Antriebstechnik 31 (1992), No. 12, pages 30-38;

NY02:469168.1

**Examiner**

Date Considered \_\_\_\_\_

\* Examiner: Initial citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Form PTO-1449 U.S. Department of Commerce  
(REV. 2-82) Patent and Trademark Office

Atty. Docket No.  
A34493

Serial No.  
09/955,317

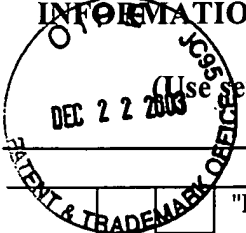
**INFORMATION DISCLOSURE STATEMENT  
BY APPLICANT**

(Use several sheets if necessary)

Applicant  
Schroder et al.

Filing Date  
9-17-2001

Group  
2121



"Praxis der Fedorientiert Geregelt..." by Nguyen Phung Quang,, pages 126-127

NY02:469168.1

Examiner

Date Considered

\* Examiner: Initial citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicant.